



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
ADMINISTRATION

Special Attention of:
Headquarters Records Management
Liaison Officers
Field Office Records Management
Liaison Officers

Transmittal for Handbook No: 2225.6 REV-1
CHG-54

Issued: September 26, 2003

1. This transmits Change 54 of Handbook 2225.6, REV-1, CHG-54, HUD Records Disposition Schedules, Schedule 65, Office of Healthy Homes and Lead Hazard Control program records.

2. **SUMMARY:**

Items 4 thru 12-b, are being added to the handbook to provide descriptions and disposition instructions for these program records of the Office of Healthy Homes and Lead Hazard Control. These descriptions and disposition instructions were approved by the National Archives and Records Administration, (NARA), on July 28, 2003, NARA Job Number N1-207-02-4.

3. **FILING INSTRUCTIONS:**

REMOVE:

Appendix 65, CHG-41,
page 5, dated 4/98

INSERT:

Appendix 65, CHG-54,
page 4-1, dated 4/98,
and pages 5-9, dated 8/03

Distribution: W-3-1, (SPECIAL DIRECT by ARADR)



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RECORDS DISPOSITION SCHEDULE 65

LEAD HAZARD CONTROL RECORDS

Item No.	Description of Records	Disposition
2)	Annual Reports. Consists of all required Annual Reports either by the Secretary of HUD, the Congress, etc.	PERMANENT. Break File at end of calendar year. Transfer to the National Archives 3 years after file break. (NARA Job N1-207-97-2, item e.2)

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
4.	Reports, Studies and Publications. Consist of record copy annual or special reports required by the Secretary of HUD or Congress; program related studies either prepared by staff or by contractors; and publications such as booklets, pamphlets, tri-fold brochures, Frequently Asked Questions, and related information distribution materials. Estimated annual accumulation: 3 inches. (Supersedes NARA Job No. N1-207-97-2, item 4)	Permanent. Cut off at end of calendar year and place in inactive file. Break inactive file every four years and transfer 4-year block to the National Archives. (NARA No. N1-207-02-4, item 4.)
5.	City/Planning Records: Consist of textual reports received from the health departments of cities and counties throughout the United States. Used as background material for selecting targets for investigation. Arranged alphabetically by city name. Dates: 1999 to present. Current volume: 2 cubic feet. Estimated annual accumulation: 1 cubic foot.	Temporary. Cut off at end of calendar year in which record closes. Retire to records center 1 year after cutoff. Destroy 6 years after cut-off. (NARA Job No. N1-207-02-4, item 5.)
6.	The Target List. A spreadsheet based system used to identify the property managers for potential on-site inspection of lease or sale records. A new spreadsheet is started for each incoming City/Planning Report. Used as background material for selecting targets for investigation. Dates: 1999 to present.	Temporary. Cut off at end of calendar year in which record closes. Destroy 6 years after cut-off. (NARA No. N1-207-02-4, item 6.)
7.	Investigation Case Files: Consist of receipts for rent and deposits, lead based paint exposure disclosure forms, copies of leases, and other related background materials. Arrangement:	Temporary. Cut off at end of calendar year in which case is closed. Retire to records center 1 year after cutoff.

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
	Alphabetical by name of management company or owner, thereunder by the property name, and thereunder alphabetical by name of primary lessee. Dates: 1999 to present. Current volume: 45 cubic feet. Estimated annual accumulation: 10 cubic feet.	Destroy 6 years after cut-off. (NARA No. N1-207-02-4, item 7.)
8.	Compliance Case Files: Consist of consent decrees, hearing transcripts before the civil or administrative law judge, correspondence, an abatement project plan, and reports from independent abatement inspection firms. Dates: 1999 to Present. Current volume: 10 cubic feet. Estimated annual accumulation: 5 cubic feet.	Temporary. Cut off at the end of the calendar year in which the case is closed. Retire to the record center 1 year after cutoff. Destroy 7 years after cutoff. (NARA No. N1-207-02-4, item 8.)
9.	Compliance Monitoring Charts. Consists of spreadsheets used to track compliance with consent decree or other settlement requirements. Dates: 1999 to Present. Current volume is 100KBs. Estimated annual accumulation: 100KB.	Temporary. Cut off at end of calendar year in which associated case is closed. Destroy 6 years after cutoff. (NARA No. N1-207-02-4, item 9.)
10.	Decree Compliance Monitoring Database Index: Database for tracking and reporting case management activities. It serves as an index for the cases and tracks case actions with data fields such as date of complaint, date of inspection, settlement/consent decree date, number of dwelling impacted, case name, case number, sanction dollar amounts, property address and names of owners, final actions taken, and others. Dates: 1999 to Present.	

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
	10-a Master Data File:	Temporary. Delete or overwrite when no longer needed for administrative, fiscal or legal reference. (NARA No. N1-207-02-4, item 10a)
	10-b Textual Documentation. Contains data dictionaries, program codes and record layouts for the data fields, user manuals, glossaries for program terms and acronyms, and related materials.	Temporary. Destroy, delete, or overwrite when superseded or obsolete. (NARA No. N1-207-02-4, item 10b)
	10-c Outputs. Regular and ad hoc reports	Temporary. File in appropriate record series or destroy or delete when no longer needed for administrative, legal, fiscal, or reference purposes, as applicable. (NARA No. N1-207-02-4, item 10c)
	10-d Back-up Files.	Temporary. Destroy or delete when superseded or obsolete. (NARA No. N1-207-02-4, item 10d)

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
11.	Statement of Inadequate Capacity (SIC) and Transition Implementation Plans (TIP). This is a closed series containing statements by jurisdictions documenting their localities' inadequate capacity to meet regulatory requirements to build capacity in lead-safe work practices for workers performing rehabilitation or maintenance in Federally assisted housing, training for risk assessors, and abatement contractors as prescribed in Rule 1012. Also contains transition implementation plans documenting the jurisdictions' good faith efforts to build capacity, correspondence, forms, and related materials. Arranged by sequential number issued when the SICs and TIPs were received. Dates: September 11, 2000 – January 10, 2002. Total Volume: Approximately 35 cubic feet.	Temporary. Retire to records center immediately. Destroy after January 10, 2008. NARA No. N1-207-02-4, item 11.)
12.	Electronic Copies. Electronic version of records created by electronic mail and/or word processing applications for the series contained in this schedule and/or the series scheduled in N1-207-97-2, to cover all currently scheduled records of the Office of Healthy Homes and Lead Hazard.	
12-a	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.	Temporary. Delete within 180 days after the record keeping copy has been produced. (NARA No. N1-207-02-4, item 12a.)

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
12-b.	Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.	Temporary. Delete when dissemination, revision, or updating is complete. (NARA No. N1-207-02-4, item 12b.)

Duplicative, fragmentary, nonrecord materials and items covered by the General Records Schedule may be disposed of without further permission from the Department of Housing and Urban Development.